Title V Developing Hispanic-Serving Institutions Program
Pre-application Checklist, FY 2002

Eligibility:

Are you potentially eligible for funds from Institutional Development and Undergraduate Education Services (IDUES)?	Y ☐	N ☐	See eligibility checklist on page **Error! Bookmark not defined.**
Are you an HSI?	Y ☐	N ☐	See eligibility checklist on page **Error! Bookmark not defined.**

Institutional buy-in:

Is there an institutional problem (or problems) that Title V funds can help solve? *Check the allowable and unallowable activities list attached on page **Error! Bookmark not defined.**.*	Y ☐	N ☐
Have you consulted with top administrators to gain their support to pursue the development of the Title V grant?	Y ☐	N ☐
Have you developed a Title V working group of major constituencies of the institution: faculty, staff, administrators, students, and the community? *You will need at least three core people in your working group to facilitate and complete tasks.*	Y ☐	N ☐

Planning:

Has your working group identified its goals and assigned tasks?	Y ☐	N ☐
Have you scheduled an adequate number of meetings of the working group to meet the goals of the group?	Y ☐	N ☐
Are the appropriate constituencies consulted during the meetings? *For example: Are you consulting your career counselors and your technology staff when discussing an on-line counseling system?*	Y ☐	N ☐
Have you scheduled a 3 hour meeting with your President to sign all the necessary assurances and certificates for the Title V application, **due on March 22, 2002**?	Y ☐	N ☐
Have you gathered the eligibility data? (due date is March 29, 2002 - see page **Error! Bookmark not defined.**)	Y ☐	N ☐

Development:

	Y	N
Has the working group identified the major institutional problem(s)? *What are the problems negatively affecting your Hispanic student outcomes?*	☐	☐
Is there data to support the fact that the problem(s) is(are) real and not just an artifact of temporary external factors or even the "pet-project" of an individual?	☐	☐
Has the working group identified potential solutions to the problem(s)? ***These solutions will be the Title V proposed "activities."***	☐	☐
Will the activity(ies) address the problem(s)? *For example: Will a computer lab address your retention problems? What data or information do you have to support this claim?*	☐	☐
Is the effectiveness of the activity(ies) supported by research, pilot projects or models?	☐	☐
Has the working group identified the expected outcome(s) from the implementation of the activity(ies)?	☐	☐
Is there base-line data available for those outcomes?	☐	☐
If there is no base-line data currently, how would it be obtained in the first year of the grant?	☐	☐
Are the expected one-year and five-year outcomes reasonable? *Can you meet the goals given the time frame and the base-line data? Are there too few or too many outcomes?*	☐	☐

Evaluation:

	Y	N
Have you identified intermediate <u>outputs</u> that will help you make improvements during your grant?	☐	☐
Have you identified how you will collect data and evaluate these intermediate <u>outputs</u>?	☐	☐
Have you identified one-year and five-year <u>outcomes</u> that will provide information on the success of the grant?	☐	☐

	Y	N
Have you identified how you will collect data and evaluate these <u>outcomes</u>?	☐	☐

Evaluation note: Outputs are numbers, such as 50% of the faculty were trained to integrate technology into their courses and 33% of the trained faculty integrated technology into their courses in the first year. Outcomes focus on the result of these outputs. For example, as a result of 33% of the faculty using technology in the classroom, retention in the nursing program was increased by 3%. Or, as a result of 33% of the faculty using technology in the classroom, academic success improved by 20%, as measured by the change in the number of students achieving a passing grade before and after the integration of technology in the classroom.

Grant management:

	Y	N
Have you identified the knowledge, skills, and abilities of the key personnel needed to implement the Title V activities and evaluation?	☐	☐
Have you developed a management plan that will adequately support the implementation the activities and evaluation? *Where will the Title V program director be in your organizational chart?*	☐	☐
Is the time commitment of the key personnel appropriate for the given responsibilities?	☐	☐

Budget:

	Y	N
Have you drafted a detailed and summary budget for each activity that will adequately support the proposed activities and evaluation? *The Department's budget categories are: Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contractual, Construction, Other, and Endowment. You should develop your budget according to your institution's requirements and then translate it into the Department's format. For example, according to the Department, "equipment" is anything over $5,000 per unit. Therefore, computers would fall under the "supplies" line item for the Department, however, your institution probably still considers computers equipment for inventory purposes.*	☐	☐

Cooperative arrangement grants ONLY:

	Y	N
Has the role of each institution been clearly identified?	☐	☐
Is there a clear rationale for each institution's participation?	☐	☐
How will the cooperative arrangement be beneficial for all partners?	☐	☐
Will the cooperative arrangement enhance the effectiveness and impact of the proposed activities?	☐	☐

Do you have the correct contact information for all partners?	Y	N
	☐	☐

Eligibility Checklist and Data Collection Pre-application Worksheet, FY 2002

IDUES Eligibility:

> **You *must* apply for eligibility in FY 2002 in order to be eligible for funds under Title V in the FY 2002 competition. The eligibility due date is March 29, 2002. The on-line form will require approximately 20 minutes to fill out. The most time consuming part is collecting all of the data and writing the waiver narratives. Collect the data using this checklist and write the narratives using the FY 2000 eligibility booklet guidelines *now*, using 1998-99 as the base year. The FY 2002 eligibility booklet will be available on-line in December 2001.**
>
> **The FY 2000 booklet is at http://www.ed.gov/offices/OPE/HEP/idues/title3a.html#apply. Continue working on your proposal as you patiently wait for the eligibility announcement, which should arrive approximately 2 weeks after your submission.**

1. Public or private non-profit institution of higher education.	Y☐ N☐
2. Accredited or pre-accredited by a nationally recognized accrediting agency.	Y☐ N☐
3. Authorized by the State in which it is located to be a junior college or award bachelor degrees.	Y☐ N☐

4. Did your Institution have an enrollment of needy students for the base year 1998-1999 defined as either of the following:

A. At least 50% of degree students receive student financial assistance under one or more of the following programs: Federal Pell Grant, Federal Supplemental Educational Opportunity Grant, Federal Work-Study, and Federal Perkins Loan.	Y☐ N☐	Fall 1998 enrollment of degree students: _____ Fall 1998 recipients of federal aid programs: _____

or -- -- **or**

B. The percentage of undergraduate degree students, enrolled on at least a half-time basis, and received Federal Pell Grants, exceeded the median percentage at comparable institutions.	Y☐ N☐	Fall 1998 enrolment of half-time to full-time undergraduate students: _____ Fall 1998 Pell Grant recipients: _____ Percentage:_____

Median % Public	Median % Private
2-yr 19.1%	2-yr 30.6%
4-yr 25%	4-yr 25.2%

If you did not answer yes to one of the above requirements then you must apply for a waiver, see number 6 below.

5. Did your Institution have a low average educational and general expenditure (E&G) per student (FTE), base year July 1, 1998 to June 30, 1999, below comparable institutions:

Y ☐ N ☐

Fall 1998 undergraduate FTE enrollment:

_____

Fall 1998 FTE graduate enrollment:

_____

Average E&G/FTE Public	Average E&G/FTE Private
2-yr $7,948	2-yr $25,358
4-yr $18,732	4-yr $27,143

Total E&G expenditures: $_____

Average E&G per FTE: _____

If you did not answer yes to number 5 then you must apply for a waiver, see number 6 below.

6. Waiver of needy student requirement, at least one must apply in order to be granted a waiver. A written justification must accompany the waiver request for each of the categories that apply.

The State provides more than 30 percent of the institution's budget and the institution charges not more than $99.00 for tuition and fees for an academic year.

Y ☐ N ☐

At least 30 percent of the students served by the institution in the base year were students from low-income families.

Y ☐ N ☐

The institution substantially increases the higher education opportunities for low-income students, who are also educationally disadvantaged, underrepresented in postsecondary education, or minority students.

Y ☐ N ☐

The institution substantially increases the higher education opportunities for individuals who reside in an area that is not included in a "metropolitan statistical area" as defined by the Office of Management and Budget and who are unserved by other postsecondary institutions.

Y ☐ N ☐

The institution will, if granted the waiver, substantially increase the higher education opportunities for Hispanic Americans.

Y ☐ N ☐

``Low-income'' is defined as 150 percent of the poverty level as established by the United States Bureau of the Census for the base-year (1998-99). The low-income 1998-99 figures are shown here for your reference and will be published in the Federal Register with the eligibility notice.

Size of family	Contiguous 48 states low-income levels 1998-99
1	$12,075
2	16,275
3	20,475
4	24,675
5	28,875
6	33,075

Title V Application Certificates and Assurances - turned in with application

Designation as a Hispanic-Serving Institution

The institution has at least 25% undergraduate Hispanic FTE (Full time equivalent) students.

Y ☐ N ☐

Total FTE:_____

Hispanic FTE:_____

At least 50% of the Hispanic students are low-income individuals.

Y ☐ N ☐

Total Hispanic students:_____

Low-income Hispanic students:_____

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This information *may be* used in the case of a tiebreaker.

Total market value of endowment funds for 1998-99: $_____

Total expenditures for library materials during 1998-99: $_____

Please note there may be other data required with the application. This should not be considered a complete and final checklist, but just a preliminary guideline to help you plan for the collection of data for your Title V application. You will <u>not need</u> to turn this checklist in with your application; it is a guide to help you collect the data you will need.

Excerpts from Title V regulations covering the allowable and unallowable activities:

Sec. 606.10 What activities may and may not be carried out under a grant?

(a) Planning grants. Under a planning grant, a grantee shall formulate--

(1) A comprehensive development plan described in Sec. 606.8; and

(2) An application for a development grant.

(b) Development grants--allowable activities. Under a development grant, except as provided in paragraph (c) of this section, a grantee shall carry out activities that implement its comprehensive development plan and hold promise for strengthening the institution. Activities that may be carried out include, but are not limited to--

(1) Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.

(2) Construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities.

(3) Support of faculty exchanges, faculty development, curriculum development, academic instruction, and faculty fellowships to assist in attaining advanced degrees in the fellow's field of instruction.

(4) Purchase of library books, periodicals, and other educational materials, including telecommunications program material.

(5) Tutoring, counseling, and student service programs designed to improve academic success.

(6) Funds management, administrative management, and acquisition of equipment for use in strengthening funds management.

(7) Joint use of facilities, such as laboratories and libraries.

(8) Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector.

(9) Establishing or improving an endowment fund, provided the grantee uses no more than 20 percent of its grant funds for this purpose and at least matches those grant funds with non-Federal funds.

(10) Creating or improving facilities for Internet or other distance learning academic instruction capabilities, including purchase or rental of telecommunications technology equipment or services.

(11) Establishing or enhancing a program of teacher education designed to qualify students to teach in public elementary or secondary schools.

(12) Establishing community outreach programs that will encourage elementary school and secondary school students to develop the academic skills and the interest to pursue postsecondary education.

(13) Expanding the number of Hispanic and other underrepresented graduate and professional students that can be served by the institution by expanding courses and institutional resources.

(14) Other activities that contribute to carrying out the purposes of this program.

(c) Development grants--unallowable activities. A grantee may not carry out the following activities or pay the following costs under a development grant:

(1) Activities that are not included in the grantee's approved application.

(2) Activities that are inconsistent with any State plan for higher education that is applicable to the institution, including, but not limited to, a State plan for desegregation of higher education.

(3) Activities or services that relate to sectarian instruction or religious worship.

(4) Activities provided by a school or department of divinity. For the purpose of this provision, a ``school or department of divinity'' means an institution, or a department of an institution, whose program is specifically for the education of students to prepare them to become ministers of religion or to enter into some other religious vocation or to prepare them to teach theological subjects.

(5) Developing or improving non-degree or non-credit courses other than basic skills development courses.

(6) Developing or improving community-based or community services programs, unless the program provides academic-related experiences or academic credit toward a degree for degree students, or, unless it is a program or services to encourage elementary and secondary school students to develop the academic skills and the interest to pursue postsecondary education.

(7) Purchase of standard office equipment, such as furniture, file cabinets, bookcases, typewriters, or word processors.

(8) Payment of any portion of the salary of a president, vice president, or equivalent officer who has college-wide administrative authority and responsibility at an institution to fill a position under the grant such as project coordinator or activity director.

(9) Costs of organized fund-raising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions.

(10) Costs of student recruitment such as advertisements, literature, and college fairs.

(11) Services to high school students, unless they are services to encourage such students to develop the skills and the interest to pursue postsecondary education.

(12) Instruction in the institution's standard courses as indicated in the institution's catalog.

(13) Costs for health and fitness programs, transportation, and day care services.

(14) Student activities such as entertainment, cultural, or social enrichment programs, publications, social clubs, or associations.

(15) Activities that are operational in nature rather than developmental in nature.